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# **Notice of Allowability**

**Application No.**

09/596,282

**Examiner**

Andrew L. Nalven

**Applicant(s)**

BERTHOLD ET AL.

**Art Unit**

2134

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to amendment submitted 4/2/2005.
2. ☒ The allowed claim(s) is/are 1-5, 7-8, 11, and 14-19.
3. ☒ The drawings filed on 24 June 2004 are accepted by the Examiner.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All   b) ☐ Some\*   c) ☐ None   of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
6. ☐ CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.
  - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review ( PTO-948) attached
    - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
  - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
7. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

## **Attachment(s)**

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08),  
Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit  
of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☐ Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_\_
7. ☒ Examiner's Amendment/Comment
8. ☐ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_



**KAMBIZ ZAND**  
**SUPERVISORY PATENT EXAMINER**

### EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Shelley Beckstrand on 20 July 2007.

The application has been amended as follows:

Claim 1. A computer system for downloading security context elements that govern execution of agents, comprising:

a computer storage device for storing:

a list of identities of users authorized to execute said agents;

downloadable cross certificates for verifying electronic signatures;

signed agents in applications including signatory name and corresponding electronic signature;

a group list store for storing names of authorized users, said group list store storing the union of names of users authorized to execute agents referenced by applications downloadable from a plurality of servers;

said computer system for executing agent execution code and agent management

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services responsive to said cross certificates and said electronic signature for activating said signed agents.

Claim 2. A computer system for downloading security context elements that govern execution of downloadable and distributable agents, comprising:

a computer storage device for storing:

a restricted agent list store for storing names of user identities of users authorized to execute restricted agents;

an unrestricted agent list store for storing names of user identities of users authorized to execute unrestricted agents;

downloadable cross certificates for use in verifying electronic signatures of names in said list stores;

a group list store for storing names of authorized users, said group list store storing the union of names of users authorized to execute agents referenced by applications downloadable from a plurality of servers;

replicable agents in applications containing signatures specifying name of signatory and corresponding electronic signature for comparison with said downloadable cross certificates;

said computer system for executing agent execution code and agent management services for activating agents dependent upon successful comparison of signatures to cross certificates.

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Claim 3. A server computer system for preparing security context elements for distribution to clients, comprising:

a computer storage device for storing:

application code;

agent code referenced by said application code and including signatures specifying name and corresponding electronic signature of signatories authorized to use said agent code;

a group list store for storing names of authorized signatories, said group list store storing the union of names of signatories authorized to execute agents referenced by applications downloadable from a plurality of servers;

said computer system for executing agent execution code and agent management services for activating agents dependent upon successful comparison of signatures to cross certificates; and

said computer data storage device further for storing a downloadable cross certificate store for storing cross certificates for each user or organization listed in said group list store and selected for downloading.

Claim 4. A client computer system for using security context elements distributed from a server with respect to downloadable application code, comprising:

a computer storage device for storing:

a client side rendition of a server application using a signed agent; agent, said signed agent including signatures specifying name and corresponding electronic

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signature of signatories authorized to use said agent code;

a group list store for storing names of signatories, said group list store storing the union of names of users authorized to execute agents referenced by applications downloadable from a plurality of servers;

a cross certificate store for storing certificates for signatories in said group list store;

said computer system for executing agent execution code and agent management services for activating said signed agent dependent upon successful comparison of signatures to cross certificates.

Claim 15. A client computer system for using security context elements distributed from a server with respect to downloadable application code, comprising:

a computer storage device for storing:

a client side rendition of a server application using a signed agent; agent, said signed agent including signatures specifying name and corresponding electronic signature of signatories authorized to use said agent code;

a group list store for storing names of signatories;

a cross certificate store for storing certificates for signatories in said group list store;

said computer system for executing agent execution code for activating said signed agent dependent upon successful comparison of signatures to cross certificates;

said agent execution code being responsive to scheduled or on-demand access to said

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signed agent for first accessing said server to update said group list store and said cross certificate store; and  
said group list store storing the union of names of signatories authorized to execute agents referenced by applications downloadable from a plurality of servers.

The reasons for allowance may be found in the office action mailed 2/2/2005.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."


Any inquiry concerning this communication or earlier communications from the examiner should be directed to Andrew L. Nalven whose telephone number is 571 272 3839. The examiner can normally be reached on Monday - Thursday 8-6, Alternate Fridays.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Zand can be reached on 571 272 3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Andrew Nalven



KAMBIZ ZAND  
SUPERVISORY PATENT EXAMINER